



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : **Confirmation No. 4208**  
Masato YAMAMICHI et al. : Docket No. 2003\_1411A  
Serial No. 10/680,294 : Group Art Unit 2131  
Filed October 8, 2003 : **THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975**  
ENCRIPTION APPARATUS, DECRYPTION  
APPARATUS AND ENCRYPTION SYSTEM

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicant requests consideration of the references listed on attached form PTO-1449. A legible copy of each reference listed on the form PTO-1449 is enclosed.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:

a. ☐ a full or partial English language translation submitted herewith,

b. ☐ a foreign patent office search report (in the English language) submitted herewith,

- c. ☐ the concise explanation contained in the specification of the present application at page,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☒ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Masato YAMAMICHI et al.

By 

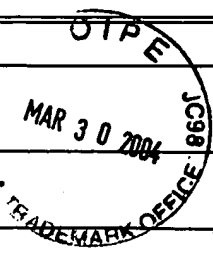
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March 30, 2004

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: March 30, 2004

ATTY DOCKET NO.  
2003\_1411ASERIAL NO.  
10/680,294APPLICANT  
Masato YAMAMICHI et al.FILING DATE  
October 8, 2003GROUP  
2131

## U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF<br>APPROPRIATE |
|----------------------|----|--------------------|------|------|-------|----------|-------------------------------|
|                      | AA |                    |      |      |       |          |                               |
|                      | AB |                    |      |      |       |          |                               |
|                      | AC |                    |      |      |       |          |                               |
|                      | AD |                    |      |      |       |          |                               |
|                      | AE |                    |      |      |       |          |                               |
|                      | AF |                    |      |      |       |          |                               |
|                      | AG |                    |      |      |       |          |                               |
|                      | AH |                    |      |      |       |          |                               |
|                      | AI |                    |      |      |       |          |                               |

## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION<br>YES NO |
|--|----|--------------------|------|---------|-------|----------|-----------------------|
|  | AJ |                    |      |         |       |          |                       |
|  | AK |                    |      |         |       |          |                       |
|  | AL |                    |      |         |       |          |                       |
|  | AM |                    |      |         |       |          |                       |
|  | AN |                    |      |         |       |          |                       |

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |    |   |
|--|----|---|
|  | AO | HOFFSTEIN, J. et al., entitled "NTRU: A RING-BASED PUBLIC KEY CRYPTOSYSTEM", Algorithmic Number Theory, International Symposium, XX, XX, June 21, 1998, pages 267-288.  |
|  | AP | GOLDWASSER, S., entitled "ELIMINATING DECRYPTION ERRORS IN THE AJTAI-DWORK CRYPTOSYSTEM", Advances in Cryptology - Crypto '97. Santa Barbara, August 17 -21, 1997, Proceedings of the Annual International Cryptology Conference (CRYPTO), Berlin, Springer, DE, Vol. CONF. 17, August 17, 1997, pages 105-111. |

EXAMINER

DATE CONSIDERED